

06/20/2003

11:04

APPLIED OPTOELECTRONICS, INC. → 1703308507

NO. 905

002

## Applied Optoelectronics, Inc.

13111 Jess Pirtle Blvd. · Sugar Land, TX 77478  
Tel: 281-295-1800 · Fax: 281-295-1888 · www.ao-inc.com

N. Stephan Kinsella  
General Counsel  
281-295-1808 · 281-295-1889 (fax)  
nskinsella@ao-inc.com

#151 Reg for  
refund  
08-27-03

June 20, 2003

via fax 703-308-6778

Commissioner of Patents and Trademarks  
ATTN: REFUND & DEPOSIT ACCOUNTS

Re: Deposit Account No. 50-1705

Dear Sirs:

Applied Optoelectronics, Inc. (AOI) has the referenced deposit acct.

On June 18, 2003, the PTO charged AOI's deposit account \$750 for 09/820,072, Fee Code 1801 (i.e., for a "Request for Continuing Examination"), Docket No. PAT004. AOI has a small-entity statement on file. See attached copy of Filing Receipt which shows the small entity status. AOI should have been charged \$375 not \$750. Please provide AOI with a refund of \$375 for serial no. 09/820,072.

Please contact me if you have any questions.

Very truly yours,



N. Stephan Kinsella

OFFICE OF FINANCE  
REFUND BRANCH

APPLIED OPTOELECTRONICS, INC.

JUL -2 PM 3:57

US PATENT & TRADEMARK  
OFFICE

13111 Jess Pirtle Blvd., Sugar Land, Texas 77478

P: 281.295.1800 F: 281.295.1888

## FACSIMILE TRANSMITTAL SHEET

|               |                                    |                                     |  |
|---------------|------------------------------------|-------------------------------------|--|
| TO:           | LATRICE, REFUND DEPT.              | FROM:                               | N. Stephan Kinsella                    |
| COMPANY:      | PTO                                | DATE:                               | 6/20/2003                              |
| FAX NUMBER:   | 703-308-5077                       | TOTAL NO. OF PAGES INCLUDING COVER: | 5                                      |
| PHONE NUMBER: | [Click here and type phone number] | SENDER'S REFERENCE NUMBER:          | [Click here and type reference number] |
| RE:           | ACCT. 50-1705                      | YOUR REFERENCE NUMBER:              | [Click here and type reference number] |

☐ URGENT ☐ FOR REVIEW ☐ PLEASE COMMENT ☐ PLEASE REPLY

## NOTES/COMMENTS:

Latrice, I would appreciate if you would process this refund request as soon as possible.

Thanks, Stephan Kinsella, 281-295-1808

THIS INFORMATION CONTAINED IN THIS FAX TRANSMISSION IS CONFIDENTIAL AND INTENDED ONLY FOR THE REVIEW AND USE OF THE PARTY TO WHOM IT IS ADDRESSED. IF YOU ARE NOT THE INTENDED RECIPIENT OR THE AGENT OR EMPLOYEE RESPONSIBLE FOR DELIVERING THIS TRANSMISSION TO THE INTENDED RECIPIENT, YOU ARE HEREBY NOTIFIED THAT ANY DISSEMINATION, DISTRIBUTION, USE, OR COPYING OF THIS TRANSMISSION OR ITS CONTENTS IS STRICTLY PROHIBITED. IF YOU HAVE RECEIVED THIS TRANSMISSION IN ERROR, PLEASE IMMEDIATELY NOTIFY THE SENDER ABOVE BY TELEPHONE TO ARRANGE FOR ITS RETURN.

If there is a problem with this transmission, please call us as soon as possible at 281-295-1800

www.ao-inc.com

## Deposit Account Statement

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Page**Deposit Account Statement**

Requested Statement Month: June 2003  
 Deposit Account Number: 501705  
 Name: APPLIED OPTOELECTRONICS, INC.  
 Attention: YVONNE SIMERA  
 Address: 13111 JESS PIRTLE BLVD.  
 City: SUGAR LAND  
 State: TX  
 Zip: 77478

| DATE  | SEQ | POSTING<br>REF TXT | ATTORNEY<br>DOCKET<br>NBR | FEE<br>CODE | AMT         | BAL        |
|-------|-----|--------------------|---------------------------|-------------|-------------|------------|
| 06/02 | 2   | 76222443           | TM006US                   | 7004        | -\$300.00   | \$5,014.00 |
| 06/06 | 210 | PCT/US03/17166     | PAT045PCT                 | 1601        | \$240.00    | \$4,774.00 |
| 06/06 | 211 | PCT/US03/17166     | PAT045PCT                 | 1603        | \$450.00    | \$4,324.00 |
| 06/06 | 212 | PCT/US03/17166     | PAT045PCT                 | 1702        | \$476.00    | \$3,848.00 |
| 06/06 | 213 | PCT/US03/17166     | PAT045PCT                 | 1703        | \$168.00    | \$3,680.00 |
| 06/06 | 214 | PCT/US03/17166     | PAT045PCT                 | 1707        | \$520.00    | \$3,160.00 |
| 06/06 | 215 | PCT/US03/17166     | PAT045PCT                 | 8007        | \$20.00     | \$3,140.00 |
| 06/09 | 27  | 10159347           | PAT045US                  | 2501        | \$650.00    | \$2,490.00 |
| 06/09 | 28  | 10159347           | PAT045US                  | 1504        | \$300.00    | \$2,190.00 |
| 06/09 | 34  | 10002994           | PAT005US                  | 2501        | \$650.00    | \$1,540.00 |
| 06/09 | 35  | 10002994           | PAT005US                  | 1504        | \$300.00    | \$1,240.00 |
| 06/16 | 1   | 09951087           | PAT012US                  | 2201        | \$168.00    | \$1,072.00 |
| 06/16 | 2   | 09951087           | PAT012US                  | 2252        | \$205.00    | \$867.00   |
| 06/16 | 3   | 09951087           | PAT012US                  | 2202        | \$99.00     | \$768.00   |
| 06/18 | 6   | 09820072           | PAT004                    | 1801        | \$750.00    | \$18.00    |
| 06/20 | 8   | E-REPLENISHMENT    |                           | 9203        | -\$2,000.00 | \$2,018.00 |

|                  |                   |                     |                |
|------------------|-------------------|---------------------|----------------|
| START<br>BALANCE | SUM OF<br>CHARGES | SUM OF<br>REPLENISH | END<br>BALANCE |
| \$4,714.00       | \$4,996.00        | \$2,300.00          | \$2,018.00     |

Should be  
\$375!

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## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO. | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|---------------|------------------|----------|------------|------------|
| 09/820,072         | 03/28/2001  | 2811         | 637           | PAT004           | 5        | 38         | 6          |

CONFIRMATION NO. 4037

## FILING RECEIPT



\*OC000000006133815\*

N. Stephan Kinsella  
APPLIED OPTOELECTRONICS, INC.  
13111 Jess Pirtle Blvd.  
Sugar Land, TX 77478

Date Mailed: 05/31/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Wen-Yen Hwang, Sugar Land, TX;

## Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/208,115 05/31/2000

## Foreign Applications

If Required, Foreign Filing License Granted 05/31/2001

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

Early Publication Request: No

\*\* SMALL ENTITY \*\*

## Title

Alternative substrates for epitaxial growth

## Preliminary Class

RECEIVED  
6-4-01

06/20/2003

11:04

APPLIED OPTOELECTRONICS, INC. → 17033085077

NO.905 005

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257

Data entry by : DABA, JOSEP

T am : OIPE

Date: 05/31/2001

**Applied Optoelectronics, Inc.**

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